



<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/656,797
	Filing Date	September 4, 2003
	First Named Inventor	STARKSEN, NIEL F.
	Art Unit	Unassigned
	Examiner Name	Unassigned
Total Number of Pages in This Submission	Attorney Docket Number	016886-001300US

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> Return Postcard PTO/SB/08A & PTO/SB/08B 3 Reference Copies
Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

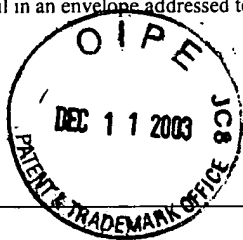
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual	Townsend and Townsend and Crew LLP Scott M. Smith Reg. No. 48,268	
Signature		
Date	December 9, 2003	

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Edward Masinas		
Signature		Date	December 9, 2003

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PATENT  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450



On 12-09-03

TOWNSEND and TOWNSEND and CREW LLP

By: Edward Masinas

Edward Masinas

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Niel F. Starksen

Application No.: 10/656,797

Filed: September 4, 2003

For: DEVICES AND METHODS FOR  
CARDIAC ANNULUS  
STABILIZATION AND TREATMENT

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement.

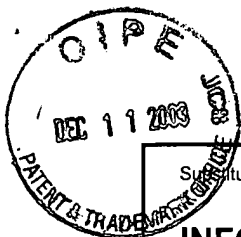
However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Scott M. Smith  
Reg. No. 48,268

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60096957 v1



Substitute for form 1449A/PTO			<b>Complete if Known</b>		
			Application Number	10/656,797	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Filing Date	September 4, 2003	
			First Named Inventor	STARKSEN, NIEL F.	
			Art Unit	Unassigned	
			Examiner Name	Unassigned	
Sheet	1	of	3	Attorney Docket Number	016886-001300US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
	1	US-4,014,492	03-24-1977	Rothfuss	
	2	US-4,042,979	08-23-1977	Angell	
	3	US-4,043,504	08-23-1977	Hueil et al.	
	4	US-4,055,861	11-01-1977	Carpentier et al.	
	5	US-4,700,250	10-13-1987	Kuriyama	
	6	US-5,366,479	11-22-1994	McGarry et al.	
	7	US-5,450,860	09-19-1995	O'Connor	
	8	US-5,571,215	11-05-1996	Sterman et al.	
	9	US-5,674,279	10-07-1997	Wright et al.	
	10	US-5,709,695	01-20-1998	Northrup, III	
	11	US-5,752,518	05-19-1998	McGee et al.	
	12	US-5,848,969	12-15-1998	Panescu et al.	
	13	US-5,860,992	01-19-1999	Daniel et al.	
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	17	US-6,165,183	12-26-2000	Kuehn et al.	
	18	US-6,197,017	03-06-2001	Brock et al.	
	19	US-6,250,308	06-26-2001	Cox	
	20	US-6,260,552	07-17-2001	Mortier et al.	
	21	US-6,269,819	08-07-2001	Oz et al.	
	22	US-6,283,993	09-04-2001	Cosgrove et al.	
	23	US-6,312,447	11-06-2001	Grimes	
	24	US-6,332,893	12-25-2001	Mortier, t al.	
	25	US-6,524,338	02-25-2003	Gundry	
	26	US-2001/0005787	06-28-2001	Oz et al.	
	27	US-2001/0014800	08-16-2001	Frazier et al.	
	28	US-2002/0013621	01-31-2002	Stobie et al.	
	29	US-2002/0029080	03-07-2002	Mortier et al.	
	30	US-2002/0035361	03-21-2002	Houser et al.	
	31	US-2002/0042621	04-11-2002	Liddicoat et al.	
	32	US-2002/0087169	01-04-2002	Brock et al.	
	33	US-2002/0095167	07-18-2002	Liddicoat et al.	
	34	US-2002/0156526	10-24-2004	Hlavka et al.	
	35	US-2002/0161378 A1	10-31-2002	Downing	
	36	US-2002/0173841	11-21-2002	Ortiz et al.	
	37	US-2003/0074012	04-17-2003	Nguyen et al.	

Examiner Signature		Date Considered	
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60096957 v1



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Sheet	2	of	3	Attorney Docket Number	016886-001300US

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	38	WO	01/26586		4/19/2001			<input type="checkbox"/>

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60096957 v1



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		Examiner Name	Unassigned		
Sheet	3	of	3	Attorney Docket Number	016886-001300US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	39	DE SIMONE et al. Adjustable tricuspid valve annuloplasty assisted by intraoperative transesophageal color Doppler echocardiography, Am. J Cardiol 73:721-722 (April 1993)	
	40	DOWNING et al. Feasibility of Off-Pump ASD Closure Using Real-Time 3-D Echocardiography, Heart Surgery Forum, Abstract 7025 (June 2001)	

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